

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
14846-29

In Re Application Of:

Mathews, et al.

Serial No.
TBA

Filing Date
December 5, 2003

Examiner
TBA

Group Art Unit
TBA

Invention:

Systems and Methods for Trading Financial Instruments Across Different Types of Trading Platforms

TO THE COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.


Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.


Signature

Dated: December 5, 2003

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Signature of Person Mailing Correspondence

CAMILLE PAYNE

Typed or Printed Name of Person Mailing Correspondence

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| INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i> | Docket Number (Optional) 14846-29 | Application Number 60/487,315 |
| | Applicant(s) Mathews, et al. | |
| | Filing Date July 15, 2003 | Group Art Unit |

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

ATTY DOCKET NO.

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Mathews, et al.

FILING

July 15, 2003

GROUP

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| | | |
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| | B | "Electronic Trading Tools" http://www.gasco.com/customer_service/trading-platform.asp |

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